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S E C R E T GENEVA 001199

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DEPT FOR T, VCI AND EUR/PRA  
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CIA FOR WINPAC  
JCS FOR J5/DDGSA  
SECDEF FOR OSD(P)/STRATCAP  
NAVY FOR CNO-N5JA AND DIRSSP  
AIRFORCE FOR HQ USAF/ASX AND ASXP  
DTRA FOR OP-OS OP-OSA AND DIRECTOR  
NSC FOR LOOK  
DIA FOR LEA

E.O. 12958: DECL: 12/19/2019

TAGS: KACT MARR PARM PREL RS US START  
SUBJECT: START FOLLOW-ON NEGOTIATIONS, GENEVA  
(SFO-GVA-VII): (U) NOTIFICATIONS WORKING GROUP, DECEMBER  
7, 2009

REF: GENEVA 1189 (SFO-GVA-VII-097)

Classified By: A/S Rose E. Gottemoeller, United States  
START Negotiator. Reasons: 1.4(b) and (d).

11. (U) This is SFO-GVA-VII-104.

12. (U) Meeting Date: December 07, 2009  
Time: 4:30 P.M. - 5:45 P.M.  
Place: U.S. Mission, Geneva

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SUMMARY  
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13. (S) Col Ryzhkov tabled and discussed a Russian working paper on the notifications for Part Four of the Protocol. Conceptually it was similar to the U.S. working paper but only provided for 29 notifications. The Russian working paper lacked sufficient detail to clearly describe the content that would be required when discussions on the Notifications Annex (Tier Three) took place. Ryzhkov stated he would be leaving for Moscow and would not return until Monday, December 14, but that meetings could continue to take place with Mr. Smirnoff. End Summary.

14. (U) SUBJECT SUMMARY: Russia's Version of Part Four Tier Two Document; and Way Ahead.

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RUSSIA'S VERSION OF PART FOUR TIER TWO DOCUMENT  
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15. (S) Ryzhkov distributed English and Russian language copies of the Russian working paper on notifications and discussed its contents.

Begin text:

#### Part Four of the Protocol to the Treaty - Notifications

##### Section I. General Provisions

The Parties hereby agree upon provisions that establish the procedures for, and the content of, the notifications provided for in Article VIII of the Treaty.

A data base pertaining to the obligations under this Treaty is set forth in Part two of the Protocol to the Treaty, in which data with respect to items subject to this Treaty are listed according to categories of data.

If a time is to be specified in a notification provided pursuant to this Part, that time shall be expressed in Greenwich Mean Time. If a date is to be specified in a notification, that date shall be specified as the 24 hour period that corresponds to the date in local time, expressed in Greenwich Mean Time.

##### Section II Notifications Concerning Data According to Categories of Data

###### 11. Notification, no later than 45 days after entry into

force of the Treaty, providing data current as of the date of entry into force of the Treaty for each category of data contained in Part two of the Protocol to the Treaty. (FORMAT 1)

12. Notification, no later than 30 days after the expiration of each six-month period following the entry into force of the Treaty, providing updated data for each category of data contained in Part two of the Protocol to the Treaty. The first of these six-month periods shall begin the first day of the calendar month following the month in which the Treaty enters into force. (FORMAT 2)

13. Notification, no later than five days after it occurs, of each change in data according to each category of data contained in Part Two of the Protocol to the Treaty, except for data with respect to warheads, which shall be provided only in accordance with paragraph 2 of this Section, unless notification of such change has been provided in accordance with another paragraph of this Part of the Protocol to the Treaty. (FORMAT 3)

Note: This format shall also be used for notifications of the completion of conversion or elimination procedures and removal of SOA from accountability by other means. The necessary information for conducting an inspection - point of entry, dates when an inspection team may arrive for carrying out verification, etc - shall also be included in them.

##### Section III. Notifications Concerning Movement of Strategic Offensive Arms

11. Notification, no later than five days after its completion, of the transit of non-deployed ICBMs and SLBMs, mobile launchers of ICBMs. (FORMAT 4)

12. Notification, no later than 24 hours after a visit of a heavy bomber or former heavy bomber has exceeded 24 hours in duration, of the visit of such a heavy bomber to a place. Such notification shall include, for each place: the number, by type, category, and, if applicable, variant, of the heavy bombers that are visiting; the declared facility at which such heavy bombers are based; the place which such heavy bombers are visiting; and the date and time of arrival. (FORMAT 5)

¶3. Notification, no later than 48 hours after departure, of the conclusion of the visit of a heavy bomber, notification of which has been provided in accordance with paragraph 2 of this Section. Such notification shall include, for each visited place: the number, by type, category, and, if applicable, variant, of the heavy bombers that have concluded the visit; the place visited by such heavy bombers; the declared facility, at which such heavy bombers are based; and the date and time of departure. (FORMAT 6)

¶4. Notification, no less than 48 hours in advance of the beginning of a major strategic exercise involving heavy bombers, conducted, of the beginning of such an exercise. Such notification shall include: the air bases for heavy bombers and air bases for former heavy bombers that are involved in the exercise; and the date and time of the beginning of the exercise. (FORMAT 7)

¶5. Notification, no later than 24 hours after the completion of a major strategic exercise involving heavy bombers, about which a notification has been provided in accordance with paragraph 4 of this Section, of the completion of that exercise. Such notification shall include the date and time of the completion of the exercise. (FORMAT 8)

#### Section IV. Notifications Concerning Flight Tests of ICBMs SLBMs

¶1. Notification, no later than 24 hours before the flight test, of any flight test of an ICBM or SLBM, including any flight test of a prototype ICBM or SLBM and any flight test of an ICBM or SLBM used for delivering objects into the upper atmosphere or space. Such notification shall be provided in accordance with the provisions of the Agreement Between the United States of America and the Union of Soviet Socialist Republics on Notifications of Launches of Intercontinental Ballistic Missiles and Submarine-Launched Ballistic Missiles of May 31, 1988. (FORMAT 9)

#### Section V. Notifications Concerning Conversion or Elimination of Strategic Offensive Arms

¶1. Notification of the planned conversion or elimination of strategic offensive arms and facilities shall be provided no less than 30 days in advance of the initiation of the conversion or elimination process. The notification shall include: the date of initiation and location at which the conversion or elimination process will be carried out; the number and types of items or the facilities, subject to conversion or elimination, the conversion or elimination procedures. (FORMAT 10)

¶2. Notification of the initiation of conversion or elimination of strategic offensive arms and facilities shall be provided no later than five days after the initiation of conversion or elimination process. The notification shall include: the date of initiation and location at which the conversion or elimination process will be carried out; the number and types of items or the facilities, subject to conversion or elimination, the conversion or elimination procedures. (FORMAT 11)

#### Section VI. Notifications Concerning Inspections and Exhibitions

¶1. Notification of the standing diplomatic clearance number for inspection airplanes shall be provided no later than 30 days after entry into force of the Treaty, for the period until the end of the current calendar year, and thereafter no less than 30 days prior to the beginning of each following calendar year; they shall include: standing diplomatic clearance number and calendar year. (FORMAT 12)

¶2. Notifications containing data on the flight plan of an inspection airplane shall be provided no less than six hours

prior to the scheduled departure time of such an airplane from the last airfield prior to entering the airspace of the inspected Party. It shall include: the point of entry, flight route, the date and time of the planned entrance into the airspace of the inspected Party. (FORMAT 13)

¶3. Notification of the approval of the flight plan of an inspection airplane shall be provided by the inspected Party no less than three hours prior to the scheduled departure time of such an airplane from the last airfield prior to entering the airspace of the inspected Party. (FORMAT 14)

¶4. Notification of the approval of a change to a flight route for inspection airplanes to and from a point of entry established on the territory of a Party shall be provided by that Party no less than 30 days in advance of the effective date of such a change. It shall include: the point of entry, the changed flight route and the effective date of such a change. (FORMAT 15)

¶5. Notification containing the initial lists of inspectors, monitors, or aircrew members. The notification shall contain, for each inspector or aircrew member: name, middle name or patronymic, and last name; day, month, and year of birth city, state or oblast, and country of birth; and passport number, if available. (FORMAT 16)

¶6. Notification of amendments made to the list of inspectors, monitors, or aircrew members in accordance with Part Five of the Protocol to the Treaty. Notification shall include:

(a) the list or lists to be amended;

(b) if any inspector, monitor, or aircrew member is removed from the lists, the first name, patronymic or middle name, and last name; day, month, and year of birth; city, oblast or state, and country of birth; and the passport number, if available, of the person removed; and

(c) for each inspector, monitor, or aircrew member proposed for inclusion in the lists, the first name, patronymic or middle name, and last name; day, month, and year of birth; city, oblast or state, and country of birth; and passport number, if available. (FORMAT 17)

¶7. Notification of agreement with or objection to the designation by the other Party of each inspector, monitor, or aircrew member proposed for inclusion on the lists provided for in paragraph 5 of this Section shall be provided no later than 30 days after entry into force of the Treaty or, with respect to subsequent amendments made to these lists, no later than 30 days after receipt of the notification provided in accordance with paragraph 6 of this Section, or of an objection to an inspector, monitor, or aircrew member who is currently on the list of inspectors, monitors, or aircrew members and shall include:

(a) the corresponding list or lists;

(b) for each inspector, monitor, or aircrew member, the first name, patronymic or middle name, and last name; day, month, and year of birth; city, oblast or state, and country of birth; and passport number, if available; and

(c) for each inspector, monitor, or aircrew member, agreement with or objection to the designation of that person. (FORMAT 18)

¶8. Notification containing the agreed list of inspectors and aircrew members. Notification shall include, for each inspector or aircrew member, the first name, patronymic or middle name, and last name; day, month, and year of birth; city, oblast or state, and country of birth; and passport

number, if available. (FORMAT 19)

¶19. Notification of an intention to conduct an inspection pursuant to paragraph X of Article XI of the Treaty, shall be provided no less than 72 hours in advance of the estimated time of arrival of the inspection team at the point of entry from outside the territory of the inspected Party.

Notification shall include: the point of entry; the date and estimated time of arrival at the point of entry; the date and time for the designation of the inspection site and the type of inspection; and the names of inspectors and aircrew members. (FORMAT 20)

¶10. Notification of the determination, in accordance with Part Five of this Protocol, of agreed geographic coordinates of reference points used at a point of entry for testing the operability of satellite system receivers, shall be provided by the inspected Party no later than 30 days after entry into force of the Treaty. The notification shall include: the point of entry; the date of determination of the agreed geographic coordinates; the agreed geographic coordinates of each of the reference points; and a physical description of each of the reference points. (FORMAT 21)

Note: For changes to the reference points used at a point of entry for testing the operability of satellite system receivers, additional notifications shall be provided by the inspected Party.

¶11. Notification of a change to the boundaries of an inspection site. Such a notification shall be provided after reaching agreement on a change to the boundaries of an inspection site within the framework of the BCC. (FORMAT 22)

¶12. Notification of intention to conduct an exhibition of strategic offensive arms. Such notification shall be transmitted no less than 15 days in advance of the planned date of the exhibition. The notification shall include: the date of initiation and site of the exhibition; the point of entry; type and, if applicable, category or version of strategic offensive arms subject to exhibition, the distinguishing features and technical characteristics of new types of strategic offensive arms, the results of the conversion or elimination of the first item of the specified type. (FORMAT 23)

¶13. Notification of agreement to take part in an exhibition of strategic offensive arms. Such notification shall be transmitted no less than 72 hours in advance of the planned date of the exhibition. The notification shall include: the point of entry; the date and estimated time of arrival at the point of entry; the names of the inspection team and aircrew members. (FORMAT 24)

Notifications provided by the inspection team leader

¶14. Notification specifying the specific type and site of

inspection. The notification shall be provided at the point of entry no later than the time specified in the notification in accordance with paragraph 9 of Section VI of this Part. Such notification shall be provided no earlier than four hours and no later than 24 hours after arrival at the point of entry. (FORMAT 25)

¶15. Notification of cancellation of an inspection. Such notification shall be presented at the point of entry or at the inspection site when an inspection cannot be conducted in accordance with Part Five of the Protocol to the Treaty. (FORMAT 26)

¶16. Notification specifying the specific item to be inspected during a Type One Inspection. Such notification shall be delivered at the inspection site after completion of pre-inspection procedures. (FORMAT 27)

Section VII. Notifications Concerning Additional Messages

and the BCC

¶1. Notification of the convening of a session of the Bilateral Consultative Commission shall be presented in accordance with Section II of Part Six of the Protocol to the Treaty. (FORMAT 28)

¶2. Notification of the response to a request to convene a session of the Bilateral Consultative Commission shall be presented in accordance with Section II of Part Six of the Protocol to the Treaty. (FORMAT 29)

¶3. Notification containing other messages concerning the Bilateral Consultative Commission. (FORMAT 30)

¶4. Notification containing clarification, correction, or modification of a notification. (FORMAT 28)

¶5. Notification of additional message relating to the Treaty. (FORMAT 29)

End text.

Structurally it was similar to the U.S. working paper delivered and discussed on December 4 (Reftel), distributing the various notifications into six different sections. The section headings were the same as the U.S. working paper. The Russian side had added a new section on General Provisions based on discussions during the previous working group meeting. Ryzhkov clarified that the Russian text did not include notifications associated with issues still under discussion, such as mobile missile launcher notifications, telemetry, throw-weight, display in the open of items, and new types/new kinds/prototypes. The document combined many START notifications and deleted others. It listed only 29 total notifications. The Russian document abandoned the use of START format numbers to connect and provide clarity between the new notifications document and the previous START document.

¶6. (S) Ryzhkov indicated that the content of the notifications were a combination of START text and new text. Siemon stated it was important to understand what information was contained in each format and Ryzhkov replied that he

would bring back an outline and examples of specific formats when he returned from Moscow on December 14.

¶7. (S) Following the U.S. side's internal review, Siemon commented that while the document appeared to capture most of what was needed, specificity needed to be added to the notifications. Siemon opined that this was especially true for notifications using START Format 3, which would cover database information changes where the free-text comments section would be used for reporting a number of different treaty events.

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INITIAL QUESTIONS  
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¶8. (S) LT Sicks asked if specific "ready to inspect information" would be included in the free text/comment portion of a Format 3 notification. Ryzhkov replied that the key point was that the details of what was provided in other formats would be provided in a variety of new fields and in the comments field of Format 3. He further stated that he would bring examples when he returned from Moscow. Siemon noted that if the sides would place so much information in a Format 3 notification, it would be important to be specific about the content in the free text section of Format 3. Ryzhkov stated there were two critical pieces of information to be included: 1) the specific date of a MOU database change and 2) the specific numerical changes. Siemon re-emphasized the need for clarity in defining the additional information to be provided, especially when it triggered an event such as the start of an exhibition for eliminated items.

¶9. (S) LTC LaGraffe asked why Russia proposed the same format (Russian Format 20) for notification of both Type One and Type Two inspections. Ryzhkov responded that the type of inspection was irrelevant and that the key point was the 72-hour advance notification time period called for in the Russian notification which he said would be enough time to make arrangements for either type of inspection, and the other necessary information such as point of entry, while the date and time did not require a unique format.

¶10. (S) LaGraffe next asked why the Notification of Cancellation of an Inspection, listed in the Russian document, was needed and who would provide the notification, the inspecting Party or the inspected Party. He noted this

notification did not appear in START. Ryzhkov replied that this topic was currently being discussed in the Inspection Protocol Working Group and that he would seek clarification and explain in detail at the next Notifications Working Group meeting.

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WAY AHEAD  
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¶11. (U) Siemon stated that his plan was to: 1) request an official translation of the Russian Text; 2) provide the Russian document to each U.S. working group chairperson for review and comment, and 3) use the comments that were received as the basis for discussion at the next meeting. Ryzhkov informed the U.S. side that Mr. Smirnov would be

available to answer questions or hold meetings during the next several days.

¶12. (U) Documents provided:

- RUSSIA:

-- Part Four of the Protocol to the Treaty - Notifications; in Russian and unofficial English translation.

¶13. (U) Participants:

UNITED STATES

Mr. Siemon  
Mr. Coussa  
Mr. Dwyer  
Lt Col Goodman  
Mr. Hanchett  
LTC Lagraffe  
LT Sicks  
Ms. Gross (Int)

RUSSIA

Col Ryzhkov  
Mr. Smirnov  
Mr. Voloskov  
Ms. Komshilova (Int)

¶14. (U) Gottemoeller sends.  
GRIFFITHS